

1132 U.S. PTO
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j1036 U.S. PTO
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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents.</small>		ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i></p> <p>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages 80] <i>(preferred arrangement set forth below)</i> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings <i>(if filed)</i> - Detailed Description - Claim(s) - Abstract of the Disclosure </p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 38]</p> <p>5. Oath or Declaration [Total Pages 2] <ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <i>(for continuation/divisional with Box 18 completed)</i> <ul style="list-style-type: none"> i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). </p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>		<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> <ul style="list-style-type: none"> a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: <ul style="list-style-type: none"> i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies </p>	
ACCOMPANYING APPLICATION PARTS			
<p>9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of <i>(when there is an assignee)</i> <input checked="" type="checkbox"/> Attorney</p> <p>11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i></p> <p>12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i></p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i></p> <p>16. <input checked="" type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p> <p>17. <input type="checkbox"/> Other: _____</p>			
<p>18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:</p> <p><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: _____ / _____</p> <p>Prior application information. Examiner _____ Group Art Unit: _____</p> <p>For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.</p>			
19. CORRESPONDENCE ADDRESS			
<p><input checked="" type="checkbox"/> Customer Number or Bar Code Label <small>(Insert customer number or bar code label here)</small></p>		<p>or <input type="checkbox"/> Correspondence address below</p>	
Name			
		26311	
Address		PATENT TRADEMARK OFFICE	
City		State	Zip Code
Country		Telephone	Fax
Name (Print/Type)		Registration No. (Attorney/Agent) 31,883	
Signature		Kent N. Stone Date 9/25/2001	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL

for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1,326.00)

Complete if Known

Application Number	
Filing Date	
First Named Inventor	Powell
Examiner Name	
Group Art Unit	
Attorney Docket No.	LEW 17,186-1

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **14-0116**
 Deposit Account Name **NASA**

Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

Applicant claims small entity status
See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee	Fee Description	Fee Paid	
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$ 710)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
52	-20**	= 32	x 18 = 576
Independent Claims	1	- 3**	= 0 x 0 = 0
Multiple Dependent	None		= 0

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee	Fee Description	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 576)

**or number previously paid, if greater, For Reissues, see above

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee	Fee Description	Fee
105	130	205	65	Surcharge - late filing fee or oath	65	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	25	
139	130	139	130	Non-English specification	130	
147	2,520	147	2,520	For filing a request for ex parte reexamination	2,520	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	920*	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	1,840*	
115	110	215	55	Extension for reply within first month	55	
116	390	216	195	Extension for reply within second month	195	
117	890	217	445	Extension for reply within third month	445	
118	1,390	218	695	Extension for reply within fourth month	695	
128	1,890	228	945	Extension for reply within fifth month	945	
119	310	219	155	Notice of Appeal	155	
120	310	220	155	Filing a brief in support of an appeal	155	
121	270	221	135	Request for oral hearing	135	
138	1,510	138	1,510	Petition to institute a public use proceeding	1,510	
140	110	240	55	Petition to revive - unavoidable	55	
141	1,240	241	620	Petition to revive - unintentional	620	
142	1,240	242	620	Utility issue fee (or reissue)	620	
143	440	243	220	Design issue fee	220	
144	600	244	300	Plant issue fee	300	
122	130	122	130	Petitions to the Commissioner	130	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	50	
126	180	126	180	Submission of Information Disclosure Stmt	180	
581	40	581	40	Recording each patent assignment per property (times number of properties) X 1	40	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	355	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	355	
179	710	279	355	Request for Continued Examination (RCE)	355	
169	900	169	900	Request for expedited examination of a design application	900	
Other fee (specify) _____						

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40)

SUBMITTED BY

Name (Print/Type)	Kent N. Stone	Registration No. (Attorney/Agent)	31,883	Telephone	(216) 433-8855
Signature	<i>Kent N. Stone</i>				
Date	9/25/2001				

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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Sent to Addressee using Express Mailing Label
No. *E711664395545* on this
25 day of September, 2001.
Kent N. Stone

**REQUEST AND CERTIFICATION
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	Powell
Title	Method for Growing Low-Defect Single Crystal Heteroepitaxial Films
Atty Docket Number	LEW 17,186-1

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

September 25, 2001

Date

Kent N. Stone

Signature

Kent N. Stone

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

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No. ET 1166 43955 US on this
25 day of September, 2001.

Kent N. Stone
Kent N. Stone

NASA Case No. LEW 17, 186-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Powell, et al

Serial No.: (Not yet assigned)

Art Unit: (not yet assigned)

Filed: (herewith)

Examiner: (not yet assigned)

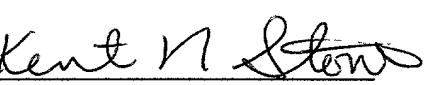
Title: Method for Growing Low-Defect Single Crystal Heteroepitaxial Films

CERTIFICATE OF MAILING UNDER 37 CFR 1.10(a)

I certify that the attached correspondence consisting of:

- Application (80 pages, including 52 claims)
- Formal Drawings (38 sheets)
- NASA Form 1538- Declaration, Power of Attorney, and Petition
- PTO SB/05- Utility Patent Application Transmittal
- PTO SB/17- Fee Transmittal
- PTO SB/35- Non Publication Request
- Assignment of J. Anthony Powell and Philip G. Neudeck with 2 Recordation Forms
- Information Disclosure Statement, with PTO 1449 and prior art patents
- Mailing Receipt Card

is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" under Mailing Label Number ET116643955US in an envelope addressed to the Assistant Commissioner for Patents, Box: New Application , Washington D.C. 20231, on 25 September, 2001.


Kent N. Stone
Attorney of Record
Registration No. 31,883